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Jc784 U.S. PTO  
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I hereby certify that this paper is being deposited with the United States Postal Service "EXPRESS MAIL Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: Box PATENT APPLICATION, Assistant Commissioner for Patents; Washington, DC 20231.

*Patricia K. Parry*

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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UTILITY APPLICATION TRANSMITTAL LETTER

ASSISTANT COMMISSIONER FOR PATENTS

Box Patent Application

Washington, D.C. 20231

Sir:

Transmitted herewith for filing is the patent application of:

INVENTOR(s): Patrick LINCOLN and Nat SHANKAR

FOR: SYSTEM AND METHOD USING INFORMATION BASED INDICIA FOR  
SECURING AND AUTHENTICATING TRANSACTIONS

Enclosed are:

- [ 15 ] Pages of specification
- [ 7 ] Pages of claims
- [ 1 ] Page of abstract
- [ 4 ] Sheets of informal drawings
- [ x ] Declaration and Power of Attorney (signed) (4 pgs.)
- [ x ] Check No. 450609 for filing fee in the amount of \$685.00
- [ x ] Verified Statement Claiming Small Entity (signed)
- [ x ] Assignment Recordation Coversheet and Assignment (signed) (3pgs)
- [ x ] Acknowledgement postcard

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The filing fee is calculated as follows:

(1) For	(2) Number filed	(3) Number extra	(4) Large Entity Rate	(5) Small Entity Rate	(6) Calculations
Basic Filing Fee	XX	XX	\$690.00	\$345.00	\$ 345.00
Total Claims	49 - 20 =	29	X \$ 18.00	X\$ 9.00	\$ 261.00
Independent Claims	4 - 3 =	1	X \$ 78.00	X\$ 39.00	\$ 39.00
Multiple Dependent Claim(s) (if applicable)			\$ 260.00	\$130.00	\$ 0.00
Assignment Recordation Fee					\$ 40.00
Total of above Calculations =					\$ 685.00

- ☒ Please record the accompanying Assignment.
- ☒ Check No. 450609, in the amount of \$685.00 is enclosed.
- ☒ The Commissioner is hereby authorized to charge any additional fees due or credit any overpayment to Deposit Account No. 07-1896.

All future correspondence should be addressed to:

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Respectfully submitted,

GRAY CARY WARE & FREIDENRICH LLP

Dated: 4/4/2000



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**VERIFIED STATEMENT CLAIMING SMALL-ENTITY STATUS  
(37 CFR 1.9(f) & 1.27(d))--NONPROFIT ORGANIZATION**

Applicant or Patentee: Patrick D. Lincoln, et al.

Application No.:

Filed: herewith

Patent No.:

Issued:

Title: SYSTEM AND METHOD USING INFORMATION BASED INDICIA FOR  
SECURING AND AUTHENTICATING TRANSACTIONS

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION: SRI International  
ADDRESS OF NONPROFIT ORGANIZATION: 333 Ravenswood Avenue  
Menlo Park, CA 94025-3493

TYPE OF NONPROFIT ORGANIZATION:

- ☐ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
- ☒ TAX-EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3))
- ☒ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA  
(NAME OF STATE: California)  
(CITATION OF STATUTE: Sections 5110 et seq., California Corporations Code)
- ☐ WOULD QUALIFY AS TEXT-EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) AND 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA
- ☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA  
(NAME OF STATE: )  
(CITATION OF STATUTE: )

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention in:

- ☐ the specification filed herewith with title as listed above.
- ☐ the application identified above.
- ☐ the patent identified above.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above-identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern, or organization having rights in the invention must file separate verified statements averring to their status as small entities and that no rights to the invention are held by

any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

☒ no such person, concern, or organization exists.

☐ each such person, concern, or organization is listed below.

NAME:

ADDRESS:

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

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☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small-entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING:

TITLE IN ORGANIZATION OF PERSON SIGNING:

ADDRESS OF PERSON SIGNING:

Richard Cramer

Assistant Secretary

333 Ravenswood Avenue

Menlo Park, CA 94025-3493

SIGNATURE:



DATE: 4-Aug-00